

12-18-01



**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(for new nonprovisional applications under 37 C.F.R. § 1.53(b))

| | | | |
|--------------------------------------------------------------------------|---------------|-------------|---|
| Attorney Docket No. | SP00-361 | Total Pages | 2 |
| First Named Inventor or Application Identifier: Ronald L. Stewart | | | |
| Title : Thin Sheet Mirror And Nd ₂ O ₃ Doped Glass | | | |
| Express Mail Label No. | EV041470145US | | |

CERTIFICATE OF EXPRESS MAIL UNDER 37 CFR 1.10:

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is Addressed to the Commissioner of Patents and Trademarks, Washington, DC 20231

on December 13, 2001

(Date)

Signature

Colleen E. Doherty

"EXPRESS MAIL" Mailing Label No EV041470145US

| | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| 1. <input checked="" type="checkbox"/> * Fee Transmittal Form <i>(Submit an original and a duplicate for fee processing)</i> | 5. <input type="checkbox"/> Microfiche Computer Program (Appendix) | |
| 2. <input checked="" type="checkbox"/> Specification <i>(preferred arrangement set forth below)</i> | [Total Pages] 11 | 6. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> |
| <ul style="list-style-type: none"> - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure | | |
| 3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. § 113) | [Total Sheets] 2 | a. <input type="checkbox"/> Computer Readable Copy |
| 4. Oath or Declaration | [Total Pages] 2 | b. <input type="checkbox"/> Paper Copy (identical to computer copy) |
| <ul style="list-style-type: none"> i. <input checked="" type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b). | | |
| c. <input type="checkbox"/> Statement verifying identity of above copies | | |

ACCOMPANYING APPLICATION PARTS

- | | |
|----------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| 7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet & document(s)) | 8. <input type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> |
| 9. <input type="checkbox"/> English Translation Document <i>(if applicable)</i> | 10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations |
| 11. <input type="checkbox"/> Preliminary Amendment | 12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(should be specifically itemized)</i> |
| 13. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> | 14. <input type="checkbox"/> Other: |

16. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation Divisional. Continuation-in-part (CIP) of prior application No

Prior application information: Examiner: To Be Assigned Group / Art Unit:

For **CONTINUATION or DIVISIONAL APPS** only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label 22928 or Correspondence address below

| | | | | | |
|-------------------|---------------------------------|-----------|--------------|-----------------------------------|----------------|
| NAME | Timothy M. Schaeberle | | | | |
| ADDRESS | Corning Incorporated, SP-TI-3-1 | | | | |
| CITY | Corning | STATE | NY | ZIP CODE | 14831 |
| COUNTRY | USA | TELEPHONE | 607-974-3164 | FAX | (607) 974-3848 |
| Name (Print/Type) | Timothy M. Schaeberle | | | Registration No. (Attorney/Agent) | 34,424 |
| Signature | | | | Date | 12/13/01 |

FEE TRANSMITTAL for FY 2001

| Complete if Known | |
|------------------------|------------------|
| Application Number | To Be Assigned |
| Filing Date | HerewithHerewith |
| First Named Inventor | Stewart, Ronald |
| Examiner Name | To Be Assigned |
| Group / Art Unit | To Be Assigned |
| Attorney Docket Number | SP00-361 |

TOTAL AMOUNT OF PAYMENT (\$) **740.00**

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **03-3325**

Deposit Account Name **Corning Incorporated**

Charge Any Additional Fees Required Under 37 C.F.R. §§ 1.16 and 1.17

2. Payment Enclosed:

Check Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|---------------------|----------|----------|------------------------|---------------------------|
| | 401 | 740 | Utility filing fee | <u>740.00</u> |
| | 406 | 330 | Design filing fee | |
| | 407 | 510 | Plant filing fee | |
| | 408 | 740 | Reissue filing fee | |
| | 414 | 160 | Provisional filing fee | |
| SUBTOTAL (1) | | | | (\$) <u>740.00</u> |

2. EXTRA CLAIM FEES

| Extra Fee from Claims below | Total Claims | Fee Paid |
|------------------------------------------------------------------|--------------------|------------------------------------------------------------|
| 11 - 20** = 0 x 18 = | | 00.00 |
| Independent Claims | 2 - 3** = 0 x 84 = | 00.00 |
| Multiple Dependent | | 0 = 0.00 |
| **or number previously paid, if greater; For Reissues, see below | | |
| Large Entity | Fee Code | Fee Description |
| | 103 | Claims in excess of 20 |
| | 102 | Independent claims in excess of 3 |
| | 104 | Multiple dependent claim, if not paid |
| | 109 | ** Reissue independent claims over original patent |
| | 110 | ** Reissue claims in excess of 20 and over original patent |
| SUBTOTAL (2) | | (\$) <u>00.00</u> |

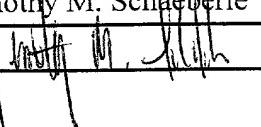
FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|------------------------------------------|---------------------------|----------|------------------------------------------------------------------------------------|-------------|
| | 105 | 130 | Surcharge - late filing fee or oath | |
| | 127 | 50 | Surcharge - late provisional filing fee or cover sheet | |
| | 139 | 130 | Non-English specification | |
| | 147 | 2,520 | For filing a request for reexamination | |
| | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| | 113 | 1,840 | Requesting publication of SIR after Examiner action | |
| | 115 | 110 | Extension for reply within first month | |
| | 116 | 390 | Extension for reply within second month | |
| | 117 | 890 | Extension for reply within third month | |
| | 118 | 1,390 | Extension for reply within fourth month | |
| | 128 | 1,890 | Extension for reply within fifth month | |
| | 119 | 310 | Notice of Appeal | |
| | 120 | 310 | Filing a brief in support of an appeal | |
| | 121 | 270 | Request for oral hearing | |
| | 138 | 1,510 | Petition to institute a public use proceeding | |
| | 140 | 110 | Petition to revive - unavoidable | |
| | 141 | 1,240 | Petition to revive - unintentional | |
| | 142 | 1,240 | Utility issue fee (or reissue) | |
| | 143 | 440 | Design issue fee | |
| | 144 | 600 | Plant issue fee | |
| | 122 | 130 | Petitions to the Commissioner | |
| | 123 | 50 | Petitions related to provisional applications | |
| | 126 | 240 | Submission of Information Disclosure Stmt | |
| | 581 | 40 | Recording each patent assignment per property (times number of properties) _____ x | |
| | 146 | 710 | Filing a submission after final rejection (37 C.F.R. § 1.129(a)) | |
| | 149 | 710 | For each additional invention to be examined (37 C.F.R. § 1.129(b)) | |
| | Other fee (specify) _____ | | | |
| | Other fee (specify) _____ | | | |
| *Reduced by Basic Filing Fee Paid | | | SUBTOTAL (3) | (\$) |

SUBMITTED BY

Completed (if applicable)

| | | | |
|-------------------|-------------------------------------------------------------------------------------|-----------------------------------|----------|
| Name (Print/Type) | Timothy M. Schaeberle | Registration No. (Attorney/Agent) | 34,424 |
| Signature |  | Date | 12/17/01 |

(U.S.)

Attorney Docket No.: SP00-361

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

COMBINED

CERTIFICATE UNDER

37 C.F.R. § 3.73(b)

and

POWER OF ATTORNEY

Applicant(s): Ronald L. Stewart

Serial No.: To Be Assigned

Filed: Herewith

For: Thin Sheet Mirror And Nd₂O₃ Doped
Glass

Assistant Commissioner for Patents
Washington, DC 20231

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

CORNING INCORPORATED, a New York corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventor(s) of the patent application identified above. A true copy of the unrecorded Assignment is attached hereto.

The undersigned has reviewed the above referenced assignment of the patent application identified above and, to the best of the undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.